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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/470,645	12/22/1999	NICK N. NIKOLS	26530.6	6402

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EXAMINER

CAO, DIEM K

ART UNIT	PAPER NUMBER
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2126

DATE MAILED: 12/04/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/470,645

Applicant(s)

NIKOLS ET AL.

Examiner

Diem K Cao

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 22 December 1999.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-22 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-22 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 3.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

DETAILED ACTION

1. This Office Action is in response to application filed on 12/22/1999.
2. Claims 1-22 are presented for examination.

Claim Rejections - 35 USC § 112

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

4. Claim 15 recites the limitation "the application" in line 3. There is insufficient antecedent basis for this limitation in the claim.

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 1-6, and 15-22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Meltzer et al. (U.S. 6,125,391) in view of Ellessen et al. (U.S. 6,101,541).

As to claim 15, Meltzer teaches receiving an event (input document; col. 83, lines 29-44) from an application (originating participant node; col. 83, lines 29-44, market participants; col. 9, lines 29-55), transforming the event to a predetermined format (translated to the format of the host; col. 83, lines 29-44) by a transformation processor (document parser 1102, document translator 1103; col. 82, lines 26-50), transmitting the transformed event (the formatted events and objects are passed to the router service, identified services; col. 83, lines 29-44).

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However, Meltzer does not explicitly teach a distributed directory, Meltzer teaches transmitting the transformed event to another application (management server). Ellesson teaches (col. 5, line 52 - col. 6, line 3) an event (request) from an application (client node) is transmitted to a directory (directory server 103).

It would have been obvious that the management server could be replaced by a distributed directory in the system of Meltzer because the Meltzer system provides an open event/data transmission between applications and not focus on the details of application programming interfaces (Summary of the invention).

As to claim 16, Meltzer teaches converting the event into markup language data prior to transforming the event (the output is transformed back to the XML format; col. 25, lines 14-24).

As to claim 17, Meltzer teaches providing a transformation profile (logical structures; col. 23, lines 51-63, XSL style sheet; col. 81, lines 24-57).

As to claim 1, Meltzer teaches a transformation profile (logical structures; col. 23, lines 51-63, XSL style sheet; col. 81, lines 24-57), an event (output data of the service; col. 83, lines 29-44), transforming the event (translating ... host system; col. 23, lines 51-63) by using a transformation tool (translator module 302; col. 23, lines 51-63) and the transformation profile, providing the transformed event to the application (commercial functions 305, database functions 306, etc.; col. 23, line 64 – col. 24, line 53), the application becomes aware of the event (receipt of product description; col. 25, lines 4-14).

However, Meltzer does not explicitly teach a distributed directory, Meltzer teaches transmitting the transformed event to another application (management server). Ellesson teaches

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(col. 4, lines 30-59) an event (a triggered event) from a directory (directory server 103) is transmitted to an application (client nodes 105, 107 and 109).

It would have been obvious that the management server could be replaced by a distributed directory in the system of Meltzer because the Meltzer system provides an open event/data transmission between applications and not focus on the details of application programming interfaces (Summary of the invention).

As to **claim 2**, Meltzer teaches converting the event into markup language data prior to transforming the event (the output is converted to the XML format; col. 83, lines 41-44).

As to **claim 3**, Meltzer teaches providing an application shim (process front end 304; col. 23, lines 51-63) to receive the transformed event and provide the event to the application (commercial functions 305, database functions 306, etc.; col. 23, line 64 – col. 24, line 53).

However, Meltzer does not explicitly teach using a native application program interface. It would have been obvious to one of ordinary skill in the art that there is a native API for each application in order for the process front end to route the event to the application.

As to **claim 4**, Meltzer teaches updating the transformation profile responsive to changes in the application (the business interface ... kept up to date; col. 25, lines 34-43). However, Meltzer does not explicitly teach updating the application shim. It would have been obvious that application shim could be updated along with the transformation file because the application needs to be updated.

As to **claim 5**, Meltzer teaches the transformation profile includes a stylesheet (XSL style sheet; col. 81, lines 24-57).

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As to claim 6, Meltzer does not explicitly teach the transformation profile is stored in the directory. Meltzer teaches the transformation profile is stored in the database in the participant module (col. 23, lines 51-63 and Fig. 3). It would have been obvious to one of ordinary skill in the art, there would be no different of the place to store the transformation file.

As to claim 18, it is the same as the method of claim 1 except it is a computer product claim. Meltzer also teaches applications are reside in different computer (col. 9, lines 9-29). Therefore, a first processor, a second processor, a first memory, a second memory are in the system inherently.

As to claim 19, refer to claim 2 above for rejection.

As to claim 20, refer to claim 3 above for rejection.

As to claim 21, refer to claim 17 above for rejection.

As to claim 22, refer to claim 1 above for rejection regarding the transformation profile and the transformation tool.

7. Claims 7-14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Meltzer et al. in view of Ellesson et al. further in view of Bayeh et al. (U.S. 6,012,098).

As to claim 7, Meltzer teaches receiving an event (output data of the service; col. 83, lines 29-44), converting the event into XML data (the output is converted to the XML format; col. 83, lines 41-44), transforming the XML data (translating ... host system; col. 23, lines 51-63) to a first predetermined format by a transformation processor (translator module 302; col. 23, lines 51-63), the first format being responsive to an application (translating ... host system; col. 23, lines 51-63), and transmitting the transformed data to the application (commercial functions 305, database functions 306, etc.; col. 23, line 64 – col. 24, line 53).

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However, Meltzer does not explicitly teach a distributed directory, an XML generator.

Elleson teaches (col. 4, lines 30-59) an event (a triggered event) from a directory (directory server 103) is transmitted to an application (client nodes 105, 107 and 109).

Bayeh teaches an XML generator to generate XML data (data servlet formats ... XML data stream; col. 8, lines 13-29).

It would have been obvious that an application could be replaced by a distributed directory in the system of Meltzer because the Meltzer system provides an open event/data transmission between applications and not focus on the details of application programming interfaces (Summary of the invention). Also, XML generator is well known in the XML art.

As to claim 8, refer to claim 17 above for rejection.

As to claim 9, Meltzer teaches updating the transformation profile responsive to changes in the application (the business interface ... kept up to date; col. 25, lines 34-43)

As to claim 10, refer to claim 3 above for rejection.

As to claim 11, Meltzer modified by Elleson teaches detecting the event through notification from an event handler of the distributed directory (event listener; col. 10, lines 46-65 and Fig. 11).

As to claim 12, refer to claim 16 above for rejection.

As to claim 13, Meltzer does not explicitly teach providing the first stylesheet and the second stylesheet. It would be obvious to one of ordinary skill in the art, using different stylesheet will provide different format for the same XML document.

As to claim 14, refer to claim 3 above for rejection.

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Conclusion

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- Nasr et al. (U.S. 6,438,540) teaches "Automatic Query and Transformative Process".
- Hemphill et al. (U.S. 6,167,448) teaches "Management Event Notification System Using Event Notification Messages Written using a Markup Language".
- Suzuki et al. (ACM) teaches "Managing the software design documents with XML".

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Diem K Cao whose telephone number is (703) 305-5220. The examiner can normally be reached on Monday - Friday, 9:00AM - 5:00PM.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

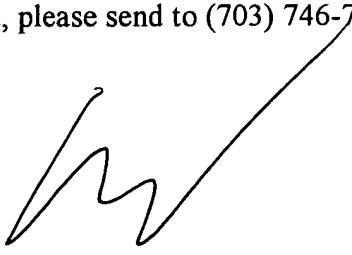
Any response to this action should be mailed to:

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Or fax to:

- AFTER-FINAL faxes must be signed and sent to (703) 746-7238.
- OFFICIAL faxes must be signed and sent to (703) 746-7239.
- NON-OFFICIAL/DRAFT faxes should not be signed, please send to (703) 746-7140.

Diem Cao
November 25, 2002


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